

430 Rec'd PCT/PTO 15 MAR 2000

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| FORM HDP-1449 (Based on Form PTO-1449) PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE CITATION (Use several sheets if necessary) Sheet 1 of 1 | ATTORNEY DOCKET NO. 3711-000105 | SERIAL NO. 09/508778 |
| | APPLICANT Seifert et al | |
| | FILING DATE | GROUP |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|---------------------|-----------------|--------|----------------|-----------------|------------------------------|
| Ref. Desig. | Examiner's Initials | Document Number | Date | Name | Class/ Subclass | (If appropriate) Filing Date |
| 1. | <i>[Signature]</i> | 5,297,031 | 3/1994 | Guterman et al | | |

| FOREIGN PATENT DOCUMENTS | | | | | | | |
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| Ref. Desig. | Examiner's Initials | Document Number | Date | Country | Class/ Subclass | Translation | |
| | | | | | | Yes | No |
| 1. | <i>[Signature]</i> | 0 401 203 | 12/1990 | EPO | | | |
| 2. | <i>[Signature]</i> | WO 96/05563 | 2/1996 | WIPO | | | |
| 3. | <i>[Signature]</i> | WO 96/34357 | 10/1996 | WIPO | | | |

| OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.) | | |
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| Ref. Desig. | Examiner's Initials | |
| 1. | <i>[Signature]</i> | "Online Stock Trading System: Study of An Application" - Computer Society International Conference. Feb. 23-27, 1987 (1 sheet) pp. 161 and 162 |
| 2. | <i>[Signature]</i> | "NORDEX: automated trading for Nordic equities"; Computers in the City 89 - Nov. 14 - 16, 1989 - pp. 53-61. |
| 3. | <i>[Signature]</i> | "How Computer Assisted Trading Is Making The Toronto Stock Exchange Purr"; Wall Street Computer Review - December 1987, pp. 71-77, 97 |
| 4. | <i>[Signature]</i> | Copy of International Search Report dated February 3, 1999 |

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|------------------------------|----------------------------------|
| Examiner: <i>[Signature]</i> | Date Considered: 03/18/06 |
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EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.